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12 Alpha Investment, LLC.

13 UNITED STATES DISTRICT COURT  
14 CENTRAL DISTRICT OF CALIFORNIA  
15 WESTERN DIVISION

CV11-04764 DMG (CW)

18 ALPHA INVESTMENT, LLC,

19 Plaintiff,

20 v.

21 ZYNGA INC. and ANDREW TRADER,

22 Defendants.

CASE NO.

COMPLAINT FOR:

- (1) MANDATORY INJUNCTION;
- (2) DECLARATORY JUDGMENT;
- (3) INTENTIONAL INTERFERENCE WITH PROSPECTIVE ECONOMIC ADVANTAGE;
- (4) BREACH OF CONTRACT;
- (5) TORTIOUS INTERFERENCE WITH CONTRACT;
- (6) UNFAIR COMPETITION

JURY TRIAL DEMANDED

COMPLAINT

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1 Plaintiff Alpha Investment, LLC (“Alpha”), by and through its attorneys, for  
2 its complaint against defendants Zynga Inc. (“Zynga”) and Andrew Trader  
3 (“Trader”), alleges the following upon knowledge as to its own actions and upon  
4 information and belief for the remainder of the complaint:

5 **NATURE OF THE ACTION**

6 1. In August 2010, Alpha entered into a Stock Purchase Agreement (the  
7 “SPA”) with Trader to acquire one million shares of Class A Common stock of  
8 Zynga (the “Shares”).

9 2. This action now arises from Zynga’s deliberate and wrongful efforts  
10 to impose improper and unlawful restrictions on the Shares that Alpha is entitled to  
11 purchase pursuant to the SPA between Alpha and Trader. Zynga’s wrongful and  
12 unreasonable conduct is interfering with Alpha’s rights and its opportunity to hold  
13 the Shares and to hold those shares free from unwarranted transfer restrictions.

14 3. Since the signing of the SPA and the related Escrow Agreement  
15 between Alpha and Trader in August 2010, \$12.87 million of Alpha’s capital has  
16 been held in an escrow account, and Alpha has been deprived of the benefit of its  
17 contract with Trader because Zynga has improperly refused to allow the stock sale  
18 to go forward. This has been based on Zynga’s stated refusal to recognize the  
19 transfer and to register the Shares in the name of Alpha without any valid  
20 justification.

21 4. Zynga’s intentional interference has prevented Alpha from realizing  
22 the benefit of its contract and its contractual relations, benefits that Alpha should  
23 properly receive given its negotiation of and its entry into the SPA with Trader, *i.e.*,  
24 the opportunity to own the Shares. Accordingly, Alpha seeks a mandatory  
25 injunction requiring Zynga to (i) accept the legal opinion that was, upon  
26 information and belief, provided to Zynga by Trader and Trader’s counsel, (ii)  
27 register the Shares in Alpha’s name, and (iii) issue Alpha a certificate for the  
28

1 Shares. In addition, Alpha seeks damages against Zynga for its improper  
2 interference with Alpha's contract with Trader.

3 5. Upon information and belief, Trader performed his obligations under  
4 the SPA. However, and in the alternative, in the event that Trader failed to perform  
5 all of his contractual requirements under the SPA and thereby prevented Alpha  
6 from obtaining the Shares, Alpha seeks specific performance of all of Trader's  
7 obligations under the SPA, in addition to the relief sought from Zynga.

8 **PARTIES**

9 6. Alpha Investment, LLC is a limited liability corporation organized  
10 under the laws of Abu Dhabi with an address at P.O. Box 186, Abu Dhabi, United  
11 Arab Emirates. Alpha is therefore a citizen of Abu Dhabi.

12 7. Defendant Zynga Inc. is a private Delaware corporation and has its  
13 principal place of business at 365 Vermont Street, Suite A, San Francisco,  
14 California 94103.

15 8. Upon information and belief, defendant Andrew Trader is a resident  
16 and citizen of California.

17 **JURISDICTION, VENUE AND APPLICABLE LAW**

18 9. This Court has subject matter jurisdiction over this action pursuant to,  
19 *inter alia*, 28 U.S.C. § 1332 because the parties are diverse and the amount in  
20 controversy exceeds \$75,000, exclusive of interest and costs of suit.

21 10. This Court has personal jurisdiction over Zynga because Zynga has its  
22 principal place of business in California.

23 11. This Court has personal jurisdiction over Trader because Trader is a  
24 citizen of California and because Trader has contractually consented to personal  
25 jurisdiction in this Court.

26 12. Venue lies in this district pursuant to 28 U.S.C. § 1391(a) and (c)  
27 because: (i) a substantial part of the events or omissions giving rise to this action  
28 occurred within this district; specifically, counsel for Trader was retained in this

1 district and negotiated and, upon information and belief, delivered the legal opinion  
 2 in question from this district; (ii) Trader has contractually consented to venue in  
 3 this district; and (iii) Zynga is subject to personal jurisdiction in this state, and  
 4 Zynga has sufficient contacts within this district to be subject to personal  
 5 jurisdiction in this district if this district were a separate state.

6 13. The SPA states that it is governed by and shall be construed in  
 7 accordance with California law, without giving effect to that body of laws  
 8 pertaining to conflict of laws.

### 9 FACTUAL ALLEGATIONS

#### 10 A. Zynga

11 14. Zynga is a social network gaming company. It develops browser-  
 12 based games as applications on social networking websites such as Facebook and  
 13 MySpace, as well as stand-alone browser-based games. Some of its most popular  
 14 games include CityVille, FarmVille, and Mafia Wars. According to its website,  
 15 Zynga has more than 215 million active monthly users and 50 million active daily  
 16 users.

17 15. Zynga was formed as a limited liability company under the name  
 18 Presidio Media LLC in California on or about April 19, 2007. It was converted to  
 19 a Delaware corporation named Presidio Media Inc. on or about October 25, 2007.  
 20 Thereafter, the corporation was renamed Zynga Game Network Inc. on or about  
 21 February 11, 2008, and was later renamed Zynga Inc. on or about November 17,  
 22 2010.

23 16. According to the Fourteenth Amended and Restated Certificate of  
 24 Incorporation of Zynga Inc., filed on or about April 18, 2011, Zynga is a private  
 25 corporation with shares of authorized common stock numbering 1,019,092,724 and  
 26 shares of authorized preferred stock numbering 399,822,180. Of Zynga's shares of  
 27 authorized common stock, 998,575,252 shares are designated "Class A Common  
 28 Stock."

1 17. Through its entry into the SPA, Alpha sought to invest in Zynga.

2 **B. Andrew Trader**

3 18. Trader is a co-founder of Zynga and former employee of Zynga who  
4 owns shares of Class A Common Stock in Zynga pursuant to a Stock Option  
5 Agreement and Stock Option Exercise Agreement, both dated on or about January  
6 3, 2008 (the "Binding Shareholder Agreements"), between Zynga and Trader.

7 19. The Binding Shareholder Agreements provided that Zynga had a right  
8 of first refusal (the "Right of First Refusal") for any proposed sale of Trader's  
9 shares for a period of 30 days from the time Zynga was given notice of the terms of  
10 the sale.

11 **C. SecondMarket**

12 20. Nonparty SecondMarket, Inc. ("SecondMarket") is an online  
13 marketplace for, *inter alia*, stock in a variety of high growth private companies. It  
14 provides a private environment for early investors and employee shareholders to  
15 sell their shares prior to a company's initial public offering or other liquidity event.  
16 According to SecondMarket's Private Company Report for the third quarter of  
17 2010, SecondMarket has facilitated transactions in private company stock of  
18 companies including Zynga, Facebook, and Twitter, among others.

19 21. Through the private marketplace forum provided by SecondMarket,  
20 Alpha and Trader were introduced in the summer of 2010 and began exploring the  
21 potential purchase and sale of Trader's shares in Zynga, the relevant terms of  
22 which were negotiated and set forth in the SPA.

23 **D. The Stock Purchase Agreement**

24 22. On or about August 26, 2010, Alpha and Trader entered a Stock  
25 Purchase Agreement (the aforementioned "SPA"), whereby Alpha agreed to  
26 purchase from Trader 1,000,000 shares of Zynga Class A Common Stock (as  
27 defined above, the "Shares") for \$12.87 per share and an aggregate price of  
28 \$12,870,000.

23. In accordance with the Binding Shareholder Agreements, the SPA provided that the sale from Trader to Alpha was subject to Zynga's Right of First Refusal and that, pursuant to that Right of First Refusal, Trader would provide Zynga with notice of the proposed transfer upon execution of the SPA.

24. The SPA also provided that Alpha agreed to be bound by and comply with the limitations on transfer in the Binding Shareholder Agreements (SPA, Section 5.1).

**E. Notice is Provided to Zynga**

25. On or about August 26, 2010, Trader provided Zynga and counsel for Zynga with a Notice of Proposed Transfer (the "Notice") that set forth the terms of the SPA between Alpha and Trader, and formally provided Zynga with (i) notice of the proposed sale of the Shares and (ii) the opportunity to exercise its Right of First Refusal for purchase of the Shares.

26. The Notice provided, in relevant part:

I acknowledge that this Notice is an offer to sell the Offered Shares to the Company [Zynga] and/or its assignee(s) pursuant to the Company's Right of First Refusal at the Offered Price.

The Company and/or its assignee(s) shall have 30 days from the date of this Notice to provide written notice to me if they elect to exercise their respective Right of First Refusal.

27. David Kinitsky ("Kinitsky"), an employee of SecondMarket, sent an email to Zynga and its outside counsel with the SPA and the Notice on or about August 26, 2010.

**F. Zynga Recognized the Contract between Alpha and Trader**

28. In response to Kinitsky's email, Karyn Smith, Deputy General Counsel for Zynga, replied on or about August 26, 2010, as follows: "Duly noted.



1 We will advise you by September 25 regarding our intention to exercise our right  
2 of first refusal on these shares.” More than 30 days passed and Zynga did not  
3 exercise its Right of First Refusal. During this period, Zynga did not contact Alpha  
4 or SecondMarket.

5 29. On or about September 26, 2010, Kinitsky emailed Zynga and its  
6 outside counsel, noting that the Right of First Refusal period had expired. Kinitsky  
7 requested that Zynga confirm that it had waived its Right of First Refusal and send  
8 “any and all final closing materials” so that the transfer of the Shares between  
9 Trader and Alpha could be consummated.

10 30. On or about September 27, 2010, Smith of Zynga replied, stating that  
11 Zynga had decided not to exercise its Right of First Refusal with respect to the  
12 Shares. Smith noted that Zynga’s outside counsel, Brian Erb of Ropes & Gray  
13 LLP, would thereafter communicate with SecondMarket “regarding the  
14 documentation required to complete this transfer” of shares from Trader to Alpha.

15 **G. Zynga Makes a Series of Wholly Unjustified Demands for the**  
16 **Imposition of Improper Restrictions on the Sale of Shares**

17 31. On or about September 29, 2010, Zynga, through its counsel Erb, sent  
18 an email to SecondMarket, Alpha and Trader, attaching a form of Stock Purchase  
19 Agreement and Representation Letter as well as Stock Transfer Instructions.

20 32. These documents purported to impose additional restrictions on the  
21 sale of shares from Trader to Alpha beyond those in the SPA, the Binding  
22 Shareholder Agreements, Zynga’s Tenth Amended and Restated Certificate of  
23 Incorporation, which was in effect at the time, and, upon information and belief, all  
24 of Zynga’s bylaws then in effect. In particular, the restrictions provided that Alpha  
25 could not sell or transfer the shares beginning on the date of acquisition of the  
26 Shares until the later of (i) 180 days after the initial public offering of Zynga’s  
27 common stock or (ii) the termination date of the market standoff agreement, and  
28 sought to impose an obligation that Alpha would enter into an agreement required

1 by Zynga to implement this.

2 33. The form of Stock Purchase Agreement proposed by Zynga provided,  
3 in relevant part:

4 5.2. Representation Letter. Purchaser acknowledges  
5 and agrees that it is bound by, and the Shares will  
6 be subject to, the provisions of the Representation  
7 Letter[.]

8 5.3. Resale Restrictions. Purchaser acknowledges and  
9 agrees that it will not effect any sale or transfer of  
10 the Shares except in compliance with this  
11 Agreement, the Representation Letter and the  
12 Binding Stockholder Agreements, and then only if  
13 (i) there is then in effect a registration statement  
14 under the Act covering such proposed disposition  
15 and such disposition is made in accordance with  
16 such registration statement; or (ii) Purchaser shall  
17 have furnished the Company with an opinion, in  
18 form and substance satisfactory to the Company,  
19 from counsel to Seller satisfactory to the Company  
20 that states that the offer and sale of the Shares  
21 being made pursuant to Rule 144 of the Act and in  
22 compliance with all applicable federal and state  
23 securities laws.

24 5.4. Subsequent Purchasers. Purchaser acknowledges  
25 and agrees that, if permitted, it will not effect any  
26 sale or transfer of the Shares except in compliance  
27 with this Agreement, the Representation Letter and  
28 the Binding Stockholder Agreements, and then



1 only to a transferee who agrees in writing for the  
2 benefit of the Company to be bound by all  
3 applicable provisions of the Binding Stockholder  
4 Agreements. Purchase [sic] understands and  
5 acknowledges that all future transferees of all or  
6 part of the Shares shall receive and hold the Shares  
7 subject to all applicable provisions of the Binding  
8 Stockholder Agreements.

9 34. The attached form of Representation Letter proposed by Zynga  
10 provided, in relevant part:

11 In connection with the proposed sale of the Shares  
12 pursuant to the [Stock Purchase] Agreement, the  
13 undersigned, Purchaser and Seller, hereby represent and  
14 warrant to, and agree with, the Company as follows: ...

15 (v) without limiting the foregoing, Purchaser hereby  
16 acknowledges and agrees that the Shares will be  
17 subject to resale restrictions which prohibit the  
18 transfer or sale of the Shares at any time during the  
19 period beginning on the date of acquisition by  
20 Purchaser and ending on the later of (a) 180 days  
21 after the effective date of the initial public offering  
22 of the Company's common stock or (b) the date on  
23 which the market stand-off agreement referenced  
24 in clause (iv) above terminates; Purchaser  
25 acknowledges that the certificate evidencing the  
26 Shares will bear a legend to the foregoing effect;  
27 Purchaser shall enter into any agreement  
28 reasonably required by the Company to implement

1 the foregoing;

2 . . .

3 (vii) . . . [I]n no even shall (a) the Company be deemed  
4 to have acted in bad faith in connection with any  
5 determination made pursuant to the exercise of its  
6 discretion under the provisions of the Agreement  
7 or the Binding Stockholder Agreements, and (b)  
8 the Company have any liability to Purchaser for  
9 the failure of the transactions contemplated by the  
10 Agreement to be consummated for any reason; . . .

11 35. The Stock Transfer Instructions proposed by Zynga purported to  
12 require that Zynga's form of Stock Purchase Agreement had to be signed before  
13 Zynga would allow the transfer of the Shares to proceed. Notwithstanding the fact  
14 that this form of stock purchase agreement referenced the Representation Letter  
15 and the restrictions contained in the Representation Letter, such restrictions were  
16 not contained in the Binding Shareholder Agreements, Zynga's corporate  
17 documents or, upon information and belief, Zynga's bylaws. Zynga improperly  
18 sought to impose these demands on this transaction and, specifically, the  
19 instructions provided: "Please note that this is the only form of Stock Purchase  
20 Agreement that will be accepted by Zynga in connection with the sale of your  
21 shares." These improper restrictions were consistent with the clear message Zynga  
22 later delivered to Trader, that under no circumstances would Zynga permit the  
23 transaction with Alpha to be accomplished.

24 **H. Alpha Requests that Zynga Remove the Additional Restrictions**

25 36. Upon reviewing the proposed restrictions in the form of Stock  
26 Purchase Agreement and Representation Letter provided by Zynga, counsel for  
27 Alpha advised SecondMarket and counsel for Zynga that Alpha would not agree to  
28 be bound by restrictions that it was not required to be subject to under the terms of

1 the existing agreements between Zynga and Trader, namely the Binding  
2 Shareholder Agreements, or other restrictions that were not otherwise legally  
3 required and that were outside the market norms.

4 37. Specifically, Alpha indicated its objection to the language in the  
5 section (v) of the Representation Letter that:

6 the Shares will be subject to the resale restrictions which  
7 prohibit the transfer or sale of the Shares at any time  
8 during the period beginning on the date of acquisition by  
9 Purchaser and ending on the later of (a) 180 days after  
10 the effective date of the initial public offering of the  
11 Company's common stock or (b) the date on which the  
12 market stand-off agreement referenced in clause (iv)  
13 above terminates; Purchaser acknowledges that the  
14 certificate evidencing the Shares will bear a legend to the  
15 foregoing effect; Purchaser shall enter into any  
16 agreement reasonably required by the Company to  
17 implement the foregoing[.]

18 38. On or about November 9, 2010, Kinitsky sent Zynga's counsel an  
19 email expressing Alpha's views and requesting that section (v) of the  
20 Representation Letter be removed. The email stated that section (v) of the  
21 Representation Letter "was a novel restriction on the shares not present in AT's  
22 [Trader's] hands" and that "[i]mposing such a restriction, if enforceable, within a  
23 Representation Letter allows the company to apply it selectively." Kinitsky further  
24 stated that Alpha "finds the provision unacceptable."

25 39. Kinitsky attached a version of the Representation Letter that omitted  
26 the offending section (v) and proposed execution of the version without the section  
27 that contained these improper restrictions.

28 40. On or about November 12, 2010, Kinitsky sent a follow-up email to

counsel for Zynga, asking if counsel had discussed the provision with Zynga.

**I. Zynga Refuses Alpha's Proposed Representation Letter**

41. On or about November 17, 2010, Erb, as counsel for Zynga, responded that: "to the extent the transfer restrictions are contained in Zynga's constitutional documents, it's irrelevant whether or not that provision is in the representation letter in the form of an agreement on the buyer's part." Erb continued: "Notwithstanding your or buyer's counsel view, Zynga is perfectly comfortable that this provision is enforceable."

42. Neither Zynga nor Erb provided any basis for the restriction under California or Delaware law or in Zynga's Certificate of Incorporation. Nor did Zynga provide any bylaw restrictions to this effect.

43. Kinitsky responded, again on November 17, 2010, asking Erb which of Zynga's constitutional documents set forth the transfer restriction at issue. Erb replied that same day, stating that the restriction was contained in Zynga's bylaws. Neither Erb nor Zynga has provided Alpha with Zynga's bylaws. Upon information and belief, Zynga's bylaws contained no such restriction.

**J. Trader's Compliance with the SPA**

44. Section 2.3 of the SPA required Trader to provide Zynga with "a legal opinion with regard to the transfer of the Shares in standard form for such transactions." Accordingly, Trader retained the Los Angeles law firm of Vick Law Group to provide the required form legal opinion, and upon information and belief, the firm provided this opinion as called for in the SPA.

45. Upon information and belief, Trader has complied with his obligations to Zynga under Section 2.3 of the SPA in that he has provided Zynga with "a legal opinion with regard to the transfer of the Shares in standard form for such transactions." Upon information and belief, attorney Scott Vick, acting as counsel for Trader, provided Zynga with such a legal opinion in November or December 2010. Alpha has repeatedly requested a copy of the opinion Trader provided to

1 Zynga from both Zynga and Trader but neither Zynga nor Trader has produced it to  
2 Alpha.

3 46. Notwithstanding Trader's apparent satisfaction of this requirement, on  
4 or about December 22, 2010, Kinitsky emailed counsel for Alpha, explaining that  
5 "the message we [SecondMarket and Trader] are receiving from Zynga is that they  
6 are simply not going to let any transfer take place here."

7 47. As a result of Zynga's refusal to permit the share transfer to Alpha  
8 from Trader, Alpha has been denied the benefit of its contract with Trader,  
9 specifically the opportunity to own the Shares. This refusal is of particular  
10 consequence because, as has been widely reported, Zynga's valuation has increased  
11 tremendously since Alpha and Trader signed the SPA, and the value of the shares  
12 purchased by Alpha under the SPA has significantly increased in value during the  
13 intervening period.

14 **K. The Delaware Action**

15 48. Zynga is a Delaware corporation and its internal corporate matters are  
16 governed by Delaware law. Therefore, Alpha brought an action against Zynga in  
17 the Delaware Court of Chancery, captioned *Alpha Investment, LLC v. Zynga Inc.*,  
18 C.A. No. 6225-VCS, challenging Zynga's effort to preclude Alpha and Trader  
19 from concluding the sale of the Shares.

20 49. On February 28, 2011, Alpha filed its Verified Complaint in the  
21 Delaware Court of Chancery and on March 1, 2011, served its Verified Complaint  
22 on Zynga, bringing claims for mandatory injunctive relief requiring Zynga to  
23 register the Shares in Alpha's name, as well as claims for declaratory relief and for  
24 tortious interference with Alpha's prospective business advantage.

25 50. On March 4, 2011, Alpha served on Zynga its First Request for  
26 Production of Documents, seeking, among other things, Zynga's corporate  
27 governance documents and bylaws. Zynga produced no discovery, but rather, on  
28 March 21, 2011, Zynga moved to dismiss the action and, on April 8, 2011, Zynga

1 moved to stay all discovery.

2 51. In its motion to stay discovery, Zynga argued that staying discovery  
3 was somehow appropriate because Alpha had not and could not assert that Trader  
4 had taken all steps necessary to effectuate the transfer. Specifically, Zynga claimed  
5 that Trader failed to meet his obligation to provide Zynga with a legal opinion.  
6 According to Zynga, "Nowhere in the Complaint [. . .] does Alpha allege that Mr.  
7 Trader has satisfied this condition. In fact, Mr. Trader has not done so." *Mot. for*  
8 *Stay of Discovery* at 2-3.

9 52. In Zynga's opening brief in support of its Motion to Dismiss, filed  
10 April 20, 2011, Zynga again alleged that Alpha could not state a claim against it  
11 because Trader had failed to provide a legal opinion to Zynga as "expressly" and  
12 "explicitly" provided for in the SPA. *Br.* at 1, 4. "The Complaint fails to allege  
13 that such a legal opinion was provided to the Company. (In fact, it was not.)" *Id.*  
14 at 1. Zynga also argued that the complaint should be dismissed under Court of  
15 Chancery Rule 19 because Alpha had not joined Trader, an indispensable party to  
16 the action. As part of Zynga's motion under Rule 19, Zynga claimed that full relief  
17 on the issues could not be had in Trader's absence.

18 53. Alpha asked Zynga to produce any legal opinion Trader had provided  
19 to Zynga, but Zynga has produced no opinion in response. Notwithstanding the  
20 fact that Alpha believes Trader provided the required opinion to Zynga, to avoid  
21 any further delay, Alpha brings this complaint case and names all of the parties  
22 with potential claims with respect to the Shares.

### 23 **FIRST CLAIM FOR RELIEF**

#### 24 **(Mandatory Injunction Against Zynga)**

25 54. Alpha incorporates the allegations in paragraphs 1 through 53 as if  
26 fully set forth herein.

27 55. Upon information and belief, the SPA between Alpha and Trader  
28 complies with all restrictions in place on the Shares and all requirements in the



1 Binding Stockholder Agreements.

2 56. Zynga chose to allow its 30 day Right of First Refusal to lapse during  
3 which time it had the right and opportunity to purchase the Shares and thus prohibit  
4 the sale and transfer of the Shares to Alpha. As Zynga chose not to exercise this  
5 right and as Alpha meets all other requirements, Zynga must therefore accept the  
6 legal opinion that was, upon information and belief, provided to it by Trader,  
7 register the Shares in Alpha's corporate name and must issue Alpha a certificate for  
8 the Shares in accordance with the SPA and without seeking to impose any  
9 additional restrictions on the Shares.

10 57. Zynga has repeatedly and unreasonably refused to register the Shares  
11 in Alpha's corporate name and to issue Alpha a certificate for the Shares under the  
12 terms of the SPA even after several requests that it do so. Instead, Zynga has  
13 purported to impose additional improper and unlawful restrictions on the Shares  
14 and (i) has insisted it will only register the Shares in Alpha's corporate name and  
15 issue Alpha a certificate for the Shares with these additional restrictions in place,  
16 (ii) has averred before the Chancery Court of the State of Delaware that Trader did  
17 not satisfy his obligation by providing Zynga with a legal opinion pursuant to  
18 Section 2.3 of the SPA when, upon information and belief, Trader provided such an  
19 opinion, and (iii) has refused to register the transfer in any event.

20 58. A mandatory injunction requiring Zynga to accept the legal opinion  
21 provided by Trader, register the Shares in Alpha's corporate name and to issue  
22 Alpha a certificate for the Shares is necessary because Alpha lacks an adequate  
23 remedy at law.

24 59. By reason of the foregoing, and notwithstanding any provision to the  
25 contrary, Alpha is entitled to a mandatory injunction requiring Zynga to accept the  
26 legal opinion provided by Trader, register the Shares in Alpha's corporate name  
27 and to issue Alpha a certificate for the Shares in accordance with the SPA and  
28 without the imposition of any further restrictions on the Shares.

**SECOND CLAIM FOR RELIEF**

**(Declaratory Judgment Against Zynga)**

60. Alpha incorporates the allegations in paragraphs 1 through 59 as if fully set forth herein.

61. Upon information and belief, the SPA between Alpha and Trader complies with the Binding Stockholder Agreements and all restrictions in place on the Shares as of the time the Alpha and Trader signed the SPA.

62. A declaratory judgment is necessary because Alpha lacks an adequate remedy at law.

63. Alpha and Zynga have an actual controversy concerning Zynga's obligation to authorize the transfer of Shares to Alpha from Trader and to register the Shares on behalf of Alpha and to issue Alpha a certificate for the Shares in accordance with the SPA.

64. The parties have a real and adverse interest in the controversy, and it is ripe for judicial determination.

65. By reason of the foregoing and pursuant to 28 U.S.C. §§ 2201 and 2202, Alpha is entitled to a declaration that (i) Trader provided Zynga with a legal opinion that met the requirements of Section 2.3 of the SPA; (ii) Zynga is obliged to authorize the transfer of Shares in accordance with the SPA; (iii) Zynga is precluded from placing additional, unspecified and unreasonable restrictions on the Shares, and (iv) Zynga must register the Shares in Alpha's corporate name and issue Alpha a certificate for the Shares, notwithstanding any provision to the contrary.

**THIRD CLAIM FOR RELIEF**

**(Intentional Interference with Prospective Economic Advantage Against Zynga)**

66. Alpha incorporates the allegations in paragraphs 1 through 65 as if fully set forth herein.

67. Alpha had a valid prospective business relationship with Trader with a probability of future economic benefit to Alpha, as set forth in the SPA between Alpha and Trader.

68. Zynga acknowledged the existence of Alpha's business expectancy and intentionally interfered with the expectancy by refusing to transfer the Shares under the SPA and demanding additional restrictions on the Shares. Zynga's refusal to transfer the Shares without additional restrictions was not done to protect a legitimate business interest and was not justified. Instead, Zynga's actions were done with the intention of interfering with Alpha's business relationship with Trader.

69. Zynga's interference has deprived Alpha of its business expectancy.

70. Alpha has suffered damages caused by Zynga's interference with Alpha's business relationship with Trader.

#### **FOURTH CLAIM FOR RELIEF**

##### **(Breach of Contract, in the Alternative, Against Trader)**

71. Alpha incorporates the allegations in paragraphs 1 through 53 as if fully set forth herein.

72. The SPA is a valid and enforceable written contract.

73. Alpha has performed its obligations and complied with all conditions and requirements of the SPA. To the extent that Alpha has not performed all of its obligations and complied with all of the conditions under the SPA, its performance of such has been excused, waived, prevented or made impossible or impracticable by Trader.

74. To the extent Trader did not provide Zynga with "a legal opinion with regard to the transfer of the Shares in standard form for such transactions," Trader failed to meet his obligations under Section 2.3 of the SPA and therefore breached the SPA.

75. To the extent Trader breached the SPA, as a direct and proximate

1 cause of Trader's wrongful conduct, Alpha has suffered damages because Alpha  
 2 has been deprived of ownership of the Shares, the value of which exceeds the  
 3 minimum jurisdictional amount for this action.

#### 4 **FIFTH CLAIM FOR RELIEF**

##### 5 **(Tortious Interference with Contract, in the Alternative, Against Zynga)**

6 76. Alpha incorporates the allegations in paragraphs 1 through 53 and 71  
 7 through 75 as if fully set forth herein.

8 77. The SPA between Alpha and Trader is a valid contract, of which  
 9 Zynga had knowledge, as the SPA was provided to Zynga with the Notice of  
 10 Proposed Transfer on or about August 26, 2010.

11 78. Upon information and belief, Zynga intentionally and unreasonably  
 12 refused to accept the legal opinion provided to it by Trader, intentionally inducing  
 13 Trader to breach his obligations under Section 2.3 of the SPA.

14 79. Zynga's intentional refusal to accept Trader's legal opinion caused  
 15 Trader to breach his contractual obligations under the SPA.

16 80. Alpha has suffered damages as a result of Trader's breach of the SPA,  
 17 in that it has been deprived of ownership of the Shares, the value of which exceeds  
 18 the minimum jurisdictional amount for this action.

#### 19 **SIXTH CLAIM FOR RELIEF**

##### 20 **(Unfair Competition Against Zynga and Trader)**

21 81. Alpha incorporates the allegations in paragraphs 1 through 80 as if  
 22 fully set forth herein.

23 82. Defendants' acts and practices as alleged herein constitute unfair  
 24 and/or fraudulent business practices within the meaning of the California Unfair  
 25 Competition Law ("UCL"), Cal. Bus. & Prof. Code §§ 17200, *et seq.*

26 83. Each Defendant is a "person" within the meaning of the UCL.

27 84. As a result of Defendants unfair and/or fraudulent conduct, Plaintiff  
 28 has suffered injury in fact and has lost and/or been deprived of money or property.

## PRAYER FOR RELIEF

- a. Awarding Alpha its actual damages on each of its claims;
- b. Granting Alpha all injunctive relief requested herein;
- c. Issuing a mandatory injunction requiring Zynga to accept the legal opinion provided to it by Trader, register the Shares in Alpha's corporate name and issue Alpha a certificate for the shares;
- d. Granting Alpha the declaratory and equitable relief requested herein;
- e. Declaring and determining that Zynga has tortiously interfered with Alpha's prospective business advantage;
- f. As to the Fourth Claim for Relief for Breach of Contract, ordering specific performance under the SPA by Trader;
- g. Awarding Alpha its costs, expenses, disbursements, and attorney's fees in respect hereto; and
- h. Granting Alpha such other relief as the Court deems just and proper.

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1 DATED: June 3, 2011

ALLEN & OVERY LLP

2 CRONE HAWXHURST LLP

3  
4 By: Gerald Hawxhurst SPG  
5 Gerald E. Hawxhurst  
6 Attorneys for Plaintiff  
7 Alpha Investment, LLC  
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CRONE HAWXHURST LLP  
10880 WILSHIRE BOULEVARD, SUITE 1150  
LOS ANGELES, CALIFORNIA 90024  
Tel: (310) 893-5150 • Fax: (310) 893-5195



**DEMAND FOR JURY TRIAL**

Plaintiff Alpha Investment, LLC hereby demands trial by jury pursuant to Fed. R. Civ. Proc. § 38(b).

DATED: June 3, 2011

ALLEN & OVERY LLP

CRONE HAWXHURST LLP

By Gerald E. Hawxhurst /SPG  
Gerald E. Hawxhurst  
Attorneys for Plaintiff  
Alpha Investment, LLC

CRONE HAWXHURST LLP  
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**UNITED STATES DISTRICT COURT  
CENTRAL DISTRICT OF CALIFORNIA**

**NOTICE OF ASSIGNMENT TO UNITED STATES MAGISTRATE JUDGE FOR DISCOVERY**

This case has been assigned to District Judge Dolly Gee and the assigned discovery Magistrate Judge is Carla Woehrle.

The case number on all documents filed with the Court should read as follows:

**CV11- 4764 DMG (CWx)**

Pursuant to General Order 05-07 of the United States District Court for the Central District of California, the Magistrate Judge has been designated to hear discovery related motions.

All discovery related motions should be noticed on the calendar of the Magistrate Judge

===== :  
**NOTICE TO COUNSEL**

*A copy of this notice must be served with the summons and complaint on all defendants (if a removal action is filed, a copy of this notice must be served on all plaintiffs).*

Subsequent documents must be filed at the following location:

☒ **Western Division**  
312 N. Spring St., Rm. G-8  
Los Angeles, CA 90012

☐ **Southern Division**  
411 West Fourth St., Rm. 1-053  
Santa Ana, CA 92701-4516

☐ **Eastern Division**  
3470 Twelfth St., Rm. 134  
Riverside, CA 92501

Failure to file at the proper location will result in your documents being returned to you.

Gerald E. Hawxhurst  
 CRONE HAWXHURST LLP  
 10880 Wilshire Blvd., Ste. 1150  
 Los Angeles, CA 90024  
 310-893-5150

**UNITED STATES DISTRICT COURT  
 CENTRAL DISTRICT OF CALIFORNIA**

ALPHA INVESTMENT, LLC,

PLAINTIFF(S)

v.

ZYNGA INC. and ANDREW TRADER

DEFENDANT(S)

CASE NUMBER

**CV11-04764** DMG (CW)

**SUMMONS**

TO: DEFENDANT(S): ZYNGA INC. and ANDREW TRADER

A lawsuit has been filed against you.

Within 21 days after service of this summons on you (not counting the day you received it), you must serve on the plaintiff an answer to the attached ☒ complaint \_\_\_\_\_ amended complaint \_\_\_\_\_ counterclaim \_\_\_\_\_ cross-claim or a motion under Rule 12 of the Federal Rules of Civil Procedure. The answer or motion must be served on the plaintiff's attorney, Gerald E. Hawxhurst, whose address is 10880 Wilshire Blvd., Ste. 1150, Los Angeles, CA 90024. If you fail to do so, judgment by default will be entered against you for the relief demanded in the complaint. You also must file your answer or motion with the court.

Clerk, U.S. District Court

Dated: June 3, 2011

By: \_\_\_\_\_

Deputy Clerk

(Seal of the Court)

[Use 60 days if the defendant is the United States or a United States agency, or is an officer or employee of the United States. Allowed 60 days by Rule 12(a)(3)].

ORIGINAL



**UNITED STATES DISTRICT COURT, CENTRAL DISTRICT OF CALIFORNIA**  
CIVIL COVER SHEET

|  |   |
|--|---|
| <b>I (a) PLAINTIFFS</b> (Check box if you are representing yourself <input type="checkbox"/> )<br><br>ALPHA INVESTMENT, LLC  | <b>DEFENDANTS</b><br><br>ZYNGA INC. and ANDREW TRADER |
| <b>(b) Attorneys</b> (Firm Name, Address and Telephone Number. If you are representing yourself, provide same.)<br>Gerald E. Hawxhurst<br>CRONE HAWXHURST LLP<br>10880 Wilshire Blvd., Suite 1150, Los Angeles, CA 90024 | Attorneys (If Known)                                  |

|  |  |                                |   |                                |   |                                |   |                          |                                |                                |   |                                |                                |   |                                |                                |                |                                |                                |
|--|--|--------------------------------|---|--------------------------------|---|--------------------------------|---|--------------------------|--------------------------------|--------------------------------|---|--------------------------------|--------------------------------|---|--------------------------------|--------------------------------|----------------|--------------------------------|--------------------------------|
| <b>II. BASIS OF JURISDICTION</b> (Place an X in one box only.)<br><br><input type="checkbox"/> 1 U.S. Government Plaintiff <input type="checkbox"/> 3 Federal Question (U.S. Government Not a Party)<br><br><input type="checkbox"/> 2 U.S. Government Defendant <input checked="" type="checkbox"/> 4 Diversity (Indicate Citizenship of Parties in Item III) | <b>III. CITIZENSHIP OF PRINCIPAL PARTIES - For Diversity Cases Only</b><br>(Place an X in one box for plaintiff and one for defendant.) <table style="width:100%;"> <tr> <td style="width:40%;">Citizen of This State</td> <td style="width:10%;">PTF <input type="checkbox"/> 1</td> <td style="width:10%;">DEF <input type="checkbox"/> 1</td> <td style="width:30%;">Incorporated or Principal Place of Business in this State</td> <td style="width:10%;">PTF <input type="checkbox"/> 4</td> <td style="width:10%;">DEF <input checked="" type="checkbox"/> 4</td> </tr> <tr> <td>Citizen of Another State</td> <td>PTF <input type="checkbox"/> 2</td> <td>DEF <input type="checkbox"/> 2</td> <td>Incorporated and Principal Place of Business in Another State</td> <td>PTF <input type="checkbox"/> 5</td> <td>DEF <input type="checkbox"/> 5</td> </tr> <tr> <td>Citizen or Subject of a Foreign Country</td> <td>PTF <input type="checkbox"/> 3</td> <td>DEF <input type="checkbox"/> 3</td> <td>Foreign Nation</td> <td>PTF <input type="checkbox"/> 6</td> <td>DEF <input type="checkbox"/> 6</td> </tr> </table> | Citizen of This State          | PTF <input type="checkbox"/> 1                                | DEF <input type="checkbox"/> 1 | Incorporated or Principal Place of Business in this State | PTF <input type="checkbox"/> 4 | DEF <input checked="" type="checkbox"/> 4 | Citizen of Another State | PTF <input type="checkbox"/> 2 | DEF <input type="checkbox"/> 2 | Incorporated and Principal Place of Business in Another State | PTF <input type="checkbox"/> 5 | DEF <input type="checkbox"/> 5 | Citizen or Subject of a Foreign Country | PTF <input type="checkbox"/> 3 | DEF <input type="checkbox"/> 3 | Foreign Nation | PTF <input type="checkbox"/> 6 | DEF <input type="checkbox"/> 6 |
| Citizen of This State  | PTF <input type="checkbox"/> 1   | DEF <input type="checkbox"/> 1 | Incorporated or Principal Place of Business in this State     | PTF <input type="checkbox"/> 4 | DEF <input checked="" type="checkbox"/> 4                 |                                |   |                          |                                |                                |   |                                |                                |   |                                |                                |                |                                |                                |
| Citizen of Another State   | PTF <input type="checkbox"/> 2   | DEF <input type="checkbox"/> 2 | Incorporated and Principal Place of Business in Another State | PTF <input type="checkbox"/> 5 | DEF <input type="checkbox"/> 5                            |                                |   |                          |                                |                                |   |                                |                                |   |                                |                                |                |                                |                                |
| Citizen or Subject of a Foreign Country  | PTF <input type="checkbox"/> 3   | DEF <input type="checkbox"/> 3 | Foreign Nation  | PTF <input type="checkbox"/> 6 | DEF <input type="checkbox"/> 6                            |                                |   |                          |                                |                                |   |                                |                                |   |                                |                                |                |                                |                                |

**IV. ORIGIN** (Place an X in one box only.)

|   |   |  |   |   |  |   |
|---|---|--|---|---|--|---|
| <input checked="" type="checkbox"/> 1 Original Proceeding | <input type="checkbox"/> 2 Removed from State Court | <input type="checkbox"/> 3 Remanded from Appellate Court | <input type="checkbox"/> 4 Reinstated or Reopened | <input type="checkbox"/> 5 Transferred from another district (specify): | <input type="checkbox"/> 6 Multi-District Litigation | <input type="checkbox"/> 7 Appeal to District Judge from Magistrate Judge |
|---|---|--|---|---|--|---|

**V. REQUESTED IN COMPLAINT: JURY DEMAND:** ☒ Yes   ☐ No (Check 'Yes' only if demanded in complaint.)

**CLASS ACTION under F.R.C.P. 23:** ☐ Yes   ☒ No     **MONEY DEMANDED IN COMPLAINT:** \$ > \$75,000

**VI. CAUSE OF ACTION** (Cite the U.S. Civil Statute under which you are filing and write a brief statement of cause. Do not cite jurisdictional statutes unless diversity.)  
 Mandatory injunction; declaratory judgment; interference w/ economical advantage; breach of k; tortious interference w/ k; unfair competition.

**VII. NATURE OF SUIT** (Place an X in one box only.)

|   |   |  |   |  |   |
|---|---|--|---|--|---|
| <b>OTHER STATUTES</b><br><input type="checkbox"/> 400 State Reapportionment<br><input type="checkbox"/> 410 Antitrust<br><input type="checkbox"/> 430 Banks and Banking<br><input type="checkbox"/> 450 Commerce/ICC Rates/etc.<br><input type="checkbox"/> 460 Deportation<br><input type="checkbox"/> 470 Racketeer Influenced and Corrupt Organizations<br><input type="checkbox"/> 480 Consumer Credit<br><input type="checkbox"/> 490 Cable/Sat TV<br><input type="checkbox"/> 810 Selective Service<br><input type="checkbox"/> 850 Securities/Commodities/Exchange<br><input type="checkbox"/> 875 Customer Challenge 12 USC 3410<br><input type="checkbox"/> 890 Other Statutory Actions<br><input type="checkbox"/> 891 Agricultural Act<br><input type="checkbox"/> 892 Economic Stabilization Act<br><input type="checkbox"/> 893 Environmental Matters<br><input type="checkbox"/> 894 Energy Allocation Act<br><input type="checkbox"/> 895 Freedom of Info. Act<br><input type="checkbox"/> 900 Appeal of Fee Determination Under Equal Access to Justice<br><input type="checkbox"/> 950 Constitutionality of State Statutes | <b>CONTRACT</b><br><input type="checkbox"/> 110 Insurance<br><input type="checkbox"/> 120 Marine<br><input type="checkbox"/> 130 Miller Act<br><input type="checkbox"/> 140 Negotiable Instrument<br><input type="checkbox"/> 150 Recovery of Overpayment & Enforcement of Judgment<br><input type="checkbox"/> 151 Medicare Act<br><input type="checkbox"/> 152 Recovery of Defaulted Student Loan (Excl. Veterans)<br><input type="checkbox"/> 153 Recovery of Overpayment of Veteran's Benefits<br><input type="checkbox"/> 160 Stockholders' Suits<br><input checked="" type="checkbox"/> 190 Other Contract<br><input type="checkbox"/> 195 Contract Product Liability<br><input type="checkbox"/> 196 Franchise<br><b>REAL PROPERTY</b><br><input type="checkbox"/> 210 Land Condemnation<br><input type="checkbox"/> 220 Foreclosure<br><input type="checkbox"/> 230 Rent Lease & Ejectment<br><input type="checkbox"/> 240 Torts to Land<br><input type="checkbox"/> 245 Tort Product Liability<br><input type="checkbox"/> 290 All Other Real Property | <b>TORTS</b><br><b>PERSONAL INJURY</b><br><input type="checkbox"/> 310 Airplane<br><input type="checkbox"/> 315 Airplane Product Liability<br><input type="checkbox"/> 320 Assault, Libel & Slander<br><input type="checkbox"/> 330 Fed. Employers' Liability<br><input type="checkbox"/> 340 Marine<br><input type="checkbox"/> 345 Marine Product Liability<br><input type="checkbox"/> 350 Motor Vehicle<br><input type="checkbox"/> 355 Motor Vehicle Product Liability<br><input type="checkbox"/> 360 Other Personal Injury<br><input type="checkbox"/> 362 Personal Injury-Med Malpractice<br><input type="checkbox"/> 365 Personal Injury-Product Liability<br><input type="checkbox"/> 368 Asbestos Personal Injury Product Liability<br><b>IMMIGRATION</b><br><input type="checkbox"/> 462 Naturalization Application<br><input type="checkbox"/> 463 Habeas Corpus-Alien Detainee<br><input type="checkbox"/> 465 Other Immigration Actions | <b>TORTS</b><br><b>PERSONAL PROPERTY</b><br><input type="checkbox"/> 370 Other Fraud<br><input type="checkbox"/> 371 Truth in Lending<br><input type="checkbox"/> 380 Other Personal Property Damage<br><input type="checkbox"/> 385 Property Damage-Product Liability<br><b>BANKRUPTCY</b><br><input type="checkbox"/> 422 Appeal 28 USC 158<br><input type="checkbox"/> 423 Withdrawal 28 USC 157<br><b>CIVIL RIGHTS</b><br><input type="checkbox"/> 441 Voting<br><input type="checkbox"/> 442 Employment<br><input type="checkbox"/> 443 Housing/Accommodations<br><input type="checkbox"/> 444 Welfare<br><input type="checkbox"/> 445 American with Disabilities - Employment<br><input type="checkbox"/> 446 American with Disabilities - Other<br><input type="checkbox"/> 440 Other Civil Rights | <b>PRISONER PETITIONS</b><br><input type="checkbox"/> 510 Motions to Vacate Sentence<br><input type="checkbox"/> 530 General Habeas Corpus<br><input type="checkbox"/> 535 Death Penalty<br><input type="checkbox"/> 540 Mandamus/Other<br><input type="checkbox"/> 550 Civil Rights<br><input type="checkbox"/> 555 Prison Condition<br><b>FORFEITURE / PENALTY</b><br><input type="checkbox"/> 610 Agriculture<br><input type="checkbox"/> 620 Other Food & Drug<br><input type="checkbox"/> 625 Drug Related Seizure of Property 21 USC 881<br><input type="checkbox"/> 630 Liquor Laws<br><input type="checkbox"/> 640 R.R. & Truck<br><input type="checkbox"/> 650 Airline Regs<br><input type="checkbox"/> 660 Occupational Safety /Health<br><input type="checkbox"/> 690 Other | <b>LABOR</b><br><input type="checkbox"/> 710 Fair Labor Standards Act<br><input type="checkbox"/> 720 Labor/Mgmt. Relations<br><input type="checkbox"/> 730 Labor/Mgmt. Reporting & Disclosure Act<br><input type="checkbox"/> 740 Railway Labor Act<br><input type="checkbox"/> 790 Other Labor Litigation<br><input type="checkbox"/> 791 Empl. Ret. Inc. Security Act<br><b>PROPERTY RIGHTS</b><br><input type="checkbox"/> 820 Copyrights<br><input type="checkbox"/> 830 Patent<br><input type="checkbox"/> 840 Trademark<br><b>SOCIAL SECURITY</b><br><input type="checkbox"/> 861 HIA (1395ff)<br><input type="checkbox"/> 862 Black Lung (923)<br><input type="checkbox"/> 863 DIWC/DIWW (405(g))<br><input type="checkbox"/> 864 SSID Title XVI<br><input type="checkbox"/> 865 RSI (405(g))<br><b>FEDERAL TAX SUITS</b><br><input type="checkbox"/> 870 Taxes (U.S. Plaintiff or Defendant)<br><input type="checkbox"/> 871 IRS-Third Party 26 USC 7609 |
|---|---|--|---|--|---|

FOR OFFICE USE ONLY: Case Number: \_\_\_\_\_

AFTER COMPLETING THE FRONT SIDE OF FORM CV-71, COMPLETE THE INFORMATION REQUESTED BELOW.

**UNITED STATES DISTRICT COURT, CENTRAL DISTRICT OF CALIFORNIA**  
**CIVIL COVER SHEET**

**VIII(a). IDENTICAL CASES:** Has this action been previously filed in this court and dismissed, remanded or closed? ☒ No ☐ Yes

If yes, list case number(s): \_\_\_\_\_

**VIII(b). RELATED CASES:** Have any cases been previously filed in this court that are related to the present case? ☒ No ☐ Yes

If yes, list case number(s): \_\_\_\_\_

**Civil cases are deemed related if a previously filed case and the present case:**

- (Check all boxes that apply) ☐ A. Arise from the same or closely related transactions, happenings, or events; or  
☐ B. Call for determination of the same or substantially related or similar questions of law and fact; or  
☐ C. For other reasons would entail substantial duplication of labor if heard by different judges; or  
☐ D. Involve the same patent, trademark or copyright, and one of the factors identified above in a, b or c also is present.

**IX. VENUE:** (When completing the following information, use an additional sheet if necessary.)

(a) List the County in this District; California County outside of this District; State if other than California; or Foreign Country, in which **EACH** named plaintiff resides.

☐ Check here if the government, its agencies or employees is a named plaintiff. If this box is checked, go to item (b).

|                           |   |
|---------------------------|---|
| County in this District:* | California County outside of this District; State, if other than California; or Foreign Country |
|                           | Abu Dhabi, A.U.R.   |

(b) List the County in this District; California County outside of this District; State if other than California; or Foreign Country, in which **EACH** named defendant resides.

☐ Check here if the government, its agencies or employees is a named defendant. If this box is checked, go to item (c).

|                           |   |
|---------------------------|---|
| County in this District:* | California County outside of this District; State, if other than California; or Foreign Country |
|                           | San Francisco County; Delaware  |

(c) List the County in this District; California County outside of this District; State if other than California; or Foreign Country, in which **EACH** claim arose.

**Note: In land condemnation cases, use the location of the tract of land involved.**

|                           |   |
|---------------------------|---|
| County in this District:* | California County outside of this District; State, if other than California; or Foreign Country |
| Los Angeles County        |   |

\* Los Angeles, Orange, San Bernardino, Riverside, Ventura, Santa Barbara, or San Luis Obispo Counties

**Note:** In land condemnation cases, use the location of the tract of land involved

X. SIGNATURE OF ATTORNEY (OR PRO PER): Donald P. [Signature] /SPG Date June 3, 2011

**Notice to Counsel/Parties:** The CV-71 (JS-44) Civil Cover Sheet and the information contained herein neither replace nor supplement the filing and service of pleadings or other papers as required by law. This form, approved by the Judicial Conference of the United States in September 1974, is required pursuant to Local Rule 3-1 is not filed but is used by the Clerk of the Court for the purpose of statistics, venue and initiating the civil docket sheet. (For more detailed instructions, see separate instructions sheet.)

Key to Statistical codes relating to Social Security Cases:

| Nature of Suit Code | Abbreviation | Substantive Statement of Cause of Action   |
|---------------------|--------------|--|
| 861                 | HIA          | All claims for health insurance benefits (Medicare) under Title 18, Part A, of the Social Security Act, as amended. Also, include claims by hospitals, skilled nursing facilities, etc., for certification as providers of services under the program. (42 U.S.C. 1935FF(b)) |
| 862                 | BL           | All claims for "Black Lung" benefits under Title 4, Part B, of the Federal Coal Mine Health and Safety Act of 1969. (30 U.S.C. 923)  |
| 863                 | DIWC         | All claims filed by insured workers for disability insurance benefits under Title 2 of the Social Security Act, as amended; plus all claims filed for child's insurance benefits based on disability. (42 U.S.C. 405(g))   |
| 863                 | DIWW         | All claims filed for widows or widowers insurance benefits based on disability under Title 2 of the Social Security Act, as amended. (42 U.S.C. 405(g))  |
| 864                 | SSID         | All claims for supplemental security income payments based upon disability filed under Title 16 of the Social Security Act, as amended.  |
| 865                 | RSI          | All claims for retirement (old age) and survivors benefits under Title 2 of the Social Security Act, as amended. (42 U.S.C. (g))   |